Regional Office Data Integrity Process

This document contains sample procedures for reviewing CATS data integrity for R Cases and C Cases. Regions may customize these procedures to address local practices. We encourage each Region to develop queries that will assist with the auditing process that may be used to either supplement or replace the procedures outlined here.

R Cases

One of the following approaches may be selected as the basis for your plan:

Plan 1:

Review CATS record for selected case as it is closed, either by the employee closing the case or an independent reviewer. Reviewer may check file documents against case card. Maintain a checklist of cases closed to confirm that the review has been performed. The list would be checked at the end of each month to ensure a sufficient number of cases have been reviewed, or Query Wizard can be used to generate a list of cases closed in CATS in a given month to make certain an appropriate number of cases have been reviewed.

Plan 2:

Review cases once a month, using one or more reviewers. Reviewer may check file documents against case card. The selected closed cases would be reviewed by a certain date each month, e.g. the 15th working day. Query Wizard can be used to generate a list of cases closed in CATS in a given month to make certain the appropriate number of cases are reviewed.

Documentation:

The Region will certify to the Division of Operations by October 20, January 20, April 20 and July 20 that the appropriate number of R Cases closed in the previous quarter have been reviewed. This should be done by e-mail to your AGC or Deputy.

R Case Review Process:

On a monthly basis, open CATS record for 50 percent of cases closed in the previous month and review the case card and supporting screens. The person reviewing the cases must be familiar with R Case flow.

When reviewing the case card, evaluate case card for logical errors. Check chronology screen and dates on card, as applicable. Where appropriate, review the following information:

- Party Type in Participants
- Verify date of hearing
- Date stip approved
- Date election conducted
- Confirm that "majority" has been entered on tally
- Review Case grouping (disposition and same situation)

- Review Post Election Activity on objections screen if objections have been filed
- Check closing method and stage
- Review Transfer activity.

   Also recommended:

   Run the Missing Action Report for each case as it is closed, or once a month for all cases closed in the month.

   Run one or more of the following Standard Reports once a month for review by an R Case Manager (e.g. the ARD) and/or R Case record keepers (e.g. ARD Secy., Election Specialist):

   - Open R Cases Report
   - Cases Pending Certification
   - Daily Action Report
   - Late Action Report

C Cases

One of the following plans should be selected as the basis for your plan:

Plan 3

Review each case as it is closed, either by the employee closing the case or an independent reviewer. Maintain a checklist of cases closed to confirm that the review has been performed. The list would be checked at the end of each month to ensure all cases have been reviewed, or Query Wizard can be used to generate a list of cases closed in a given month to make certain the appropriate number of cases have been reviewed.

Plan 4

Review cases weekly or monthly, using one or more reviewers. Query Wizard can be used to generate a list of cases closed to ensure the correct number of cases is reviewed. To confirm that the selected cases have been closed, you may want to run one or more of the Standard Reports listed in the section, below.

Documentation:

The Region will certify to the Division of Operations by October 20, January 20, April 20 and July 20 that all C Cases closed in the previous quarter have been reviewed. This should be done by e-mail to your AGC or Deputy.

C Case Review Process

Review 30 percent of closed cases on an ongoing basis throughout the fiscal year. The person reviewing the cases must be familiar with C Case flow. The attached checklists may be used to help with this process.

When reviewing the case card, evaluate case card for logical errors. Check chronology screen and dates on card, as applicable. Where appropriate review:

- Party Type in Participants
- Investigative category
- Actions applied to allegations
- Review Case grouping (disposition and same situation)
- Disposition Accomplished/Disposition Date
- Determination after processing resumes on Deferral
- Check closing method and stage
- Compliance activity
- Closed Case Report (CCR)
- Review Transfer activity

Also recommended:

Run the Missing Action Report for each case as it is closed, or once a month for all cases closed in the month.

Run one or more of the following Standard Reports once a month for review by a C Case Manager (e.g. the ARD) and/or C Case record keepers (e.g. RD Secy., RA Secy., Compliance Assistant):

- Open C Cases Report
- Cases Under Investigation
- Cases Pending Disposition
- Team Case List
- Cases Pending Compliance
- Daily Action Report
- Late Action Report